

FORM PTO-1390 MODIFIED	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	<b>IAPI2 Rec'd PCT/PTO 30 MAY 2007</b> LSN-4062-189
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)  <div style="text-align: right;"><b>10/576,130</b></div>
INTERNATIONAL APPLICATION NO. <b>PCT/IN2004/000319</b>	INTERNATIONAL FILING DATE <b>14 October 2004</b>	PRIORITY DATE CLAIMED <b>14 October 2003</b>
TITLE OF INVENTION  <div style="text-align: center;"><b>NOVEL HETEROCYCLIC COMPOUNDS</b></div>		
APPLICANT(S) FOR DO/EO/US  <div style="text-align: center;"><b>LOHRAY ET AL.</b></div>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The U.S. has been elected (Article 31).</li> <li>5. A copy of the International Application as filed (35 U.S.C. 371(c)(2).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (        pages specification, claims &amp; abstract (        claims),        sheets drawings).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (        pages specification, claims &amp; abstract (        claims),        sheets drawings,        page Certificate of Translation).</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has <b>NOT</b> expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4).</li> <li>b. <input type="checkbox"/> Declaration was submitted to the International Bureau during International Phase (see copies of Declaration (        page Form PCT/RO/101 and Form PCT/IB/371 and first page of printed publication acknowledging receipt thereof attached).</li> </ol> </li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11 To 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</li> <li>13. <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> A FIRST preliminary amendment.</li> <li>b. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> </ol> </li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 C.F.R. § 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information. Response to Notification of Missing Requirements and Return Copy of Notification of Missing Requirements Under 35 U.S.C. 371</li> </ol>		

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>10/576,130</b>			INTERNATIONAL APPLICATION NO. <b>PCT/IN2004/000319</b>			ATTORNEY'S DOCKET NUMBER <b>4062-189</b>		
<input checked="" type="checkbox"/> The following fees are submitted:								
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):</b>								
21. <input type="checkbox"/> Basic national fee .....						\$		
22. <input type="checkbox"/> Examination Fee.....						\$		
23. <input type="checkbox"/> Search Fee .....						\$		
.....						\$		
.....						\$		
<b>TOTAL OF ABOVE CALCULATIONS</b>						\$	0.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.								
Total Sheets		Extra Sheets		Number of each additional 50 or fraction thereof (round up to a whole number)		RATE		
0	-100	0	/50 =	0.00		\$0.00 (1681)	\$	
						\$0.00 (2681)		
Surcharge of \$130.00 (1617)/\$65.00 (2617) for furnishing the oath or declaration later than <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e).						\$		
CLAIMS		NUMBER FILED		# EXTRA		RATE		
Total Claims		minus 20 =		0 X		\$50.00 (1615)	\$25.00 (2615)	\$
Independent Claims		minus 3 =		0 X		\$200.00 (1614)	\$100.00 (2614)	\$
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)						\$360.00 (1616)/\$180.00 (2616)	\$	0.00
Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s): One Month Extension \$120.00 (1251)/\$60.00 (2251); Two Month Extensions \$450.00 (1252)/\$225.00 (2252); Three Month Extensions \$1020.00 (1253)/\$510.00 (2253); Four Month Extensions \$1590.00 (1254)/\$795.00 (2254)						\$	1590.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.								
Processing fee of \$130.00 (1618), for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f).							0.00	
<b>TOTAL NATIONAL FEE =</b>						\$	<b>1590.00</b>	
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 (8021) per property +						\$	0.00	
Fee for Petition to Revive Unintentionally Abandoned Application; \$1500.00 (1453) / \$750.00 (2453)						\$	0.00	
<b>TOTAL FEES ENCLOSED =</b>						\$	<b>1590.00</b>	
						Amount to be refunded:	\$	
						Amount to be Charged:	\$	
05/31/2007 GFREY1 01 FC:1254						00000111 10576138 1590.00 00		

U.S. Application No.10/576,130; Atty Docket No.4062-189

- a. ☒ A check in the amount of \$1590.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 14-1140 in the amount of \$\_\_\_\_\_ to cover the above fees.  
A duplicate copy of this form is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed.
- d. ☐ **CREDIT CARD PAYMENT FORM ATTACHED.**
- e. ☐ The entire content of International Application No. **PCT/IN2004/000319** and any U.S. and foreign application(s) corresponding thereto, and \_\_\_\_\_, referred to in this application is/are hereby incorporated by reference in this application.

**NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b) must be filed and granted to restore the application to pending status.**

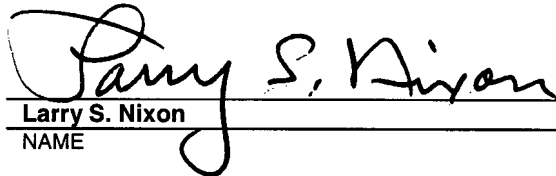
**CORRESPONDENCE ADDRESS**

Direct all correspondence to:

☒ **Customer Number:****23117***Type Customer Number here*

Telephone: (703) 816-4000

LSN:tlm

  
**Larry S. Nixon**

NAME

**25,640**

REGISTRATION NUMBER

**May 30, 2007**

Date

4062-189  
LSNUNITED STATES PATENT AND TRADEMARK OFFICE LSN

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/576,130	Braj Bhushan Lohray	4062189

INTERNATIONAL APPLICATION NO.

PCT/IN04/00319

LA. FILING DATE

10/14/2004

PRIORITY DATE

10/14/2003

23117

NIXON & VANDERHYE, PC  
 901 NORTH GLEBE ROAD, 11TH FLOOR  
 ARLINGTON, VA 22203

CONFIRMATION NO. 5076

371 FORMALITIES LETTER



\*OC009000021582109\*

Date Mailed: 12/14/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 04/14/2006
- Copy of the International Search Report filed on 04/14/2006
- Copy of IPE Report filed on 04/14/2006
- Copy of Annexes to the IPE filed on 04/14/2006
- Preliminary Amendments filed on 04/14/2006
- Information Disclosure Statements filed on 04/14/2006
- Oath or Declaration filed on 07/12/2006
- Request for Immediate Examination filed on 04/14/2006
- U.S. Basic National Fees filed on 04/14/2006
- Assignment filed on 07/12/2006
- Priority Documents filed on 04/14/2006
- Specification filed on 04/14/2006
- Claims filed on 04/14/2006
- Abstracts filed on 04/14/2006

DOCKETED

CLT/MATTER # 4062-189  
 MAIL DATE 12-14-2006  
 DUE DATE Feb. 14, 2007  
 FINAL DEADLINE July 14, 2007  
 DOCKETED BY LSN

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
  - does not identify the citizenship of each inventor.

Additionally the following defects have been observed:

- Annexes have not been entered because clms not in consecutive order.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

VONDA M WALLACE

Telephone: (703) 308-9140 EXT 225

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/576,130	PCT/IN04/00319	4062189

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of

LOHRAY ET AL.

Atty. Ref.: LSN-4062-189

Serial No. 10/576,130

TC/A.U.: Unknown

Filed: April 14, 2006

Examiner: Unknown

For: NOVEL HETEROCYCLIC COMPOUNDS

\* \* \* \* \*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

May 30, 2007

Sir:

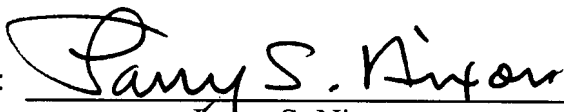
**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**

In response to the Notification of Missing Requirements dated 12/14/2006 a properly executed inventors' Declaration identifying the citizenship of each inventor is attached.

Entry of the annexes is not required because applicant's preliminary amendment of 04/14/2006 already makes desired amendments for this U.S. national phase application.

Respectfully submitted,

**NIXON & VANDERHYE P.C.**

By:   
Larry S. Nixon  
Reg. No. 25,640

LSN:tlm  
901 North Glebe Road, 11th Floor  
Arlington, VA 22203-1808  
Telephone: (703) 816-4000  
Facsimile: (703) 816-4100